

Form PTO-1390US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  
(Rev. 5-93)

ATTORNEY'S DOCKET

M 6820 PCT/PTO

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

097807658

INTERNATIONAL APPLICATION NO.  
**PCT/JP99/05652**INTERNATIONAL FILING DATE  
**October 14, 1999**PRIORITY DATE CLAIMED  
**10/15/1998 and 10/08/1999**

## TITLE OF INVENTION

**HYDROPHILIZING AGENT FOR METALLIC MATERIAL, HYDROPHILIZING FLUID, METHOD OF  
HYDROPHILIZING, METALLIC MATERIAL, AND HEAT EXCHANGER**APPLICANT(S) FOR DO/EO/US  
**Kazuya Nakada and Takuo Murai**

Applicant herewith submits to the United States Designated/Elected Office (EO/DO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39 (1).
  4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☒ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unexecuted)
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:**
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A **FIRST** preliminary amendment
 ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☐ Other items or information.:

"Express Mail" mailing label number EL615776137US

COPY

U.S. Application No. (If known see  
CFR 1.30)

09/807658

INTERNATIONAL  
APPLICATION NO.  
PCT/JP99/05652ATTORNEY'S DOCKET NUMBER  
M 6820 PCT/US

## 17. ■ The following fees are submitted:

**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO.....\$860.00

International preliminary examination fee paid to USPTO (37CFR  
1.482).....\$670.00No international preliminary examination fee paid to USPTO (37 CFR  
1.482) but international search fee paid to USPTO (37CFR  
1.445(a)(2)).....\$690.00Neither international preliminary examination fee (37CFR 1.482) nor  
international search fee(37 CFR 1.445(a)(2)) paid toUSPTO.. \$970.00  
International preliminary examination fee paid to USPTO (37CFR  
1.482)and all claims satisfied provisions of PCT Article 33(2)-  
(4).....\$96.00**ENTER APPROPRIATE BASIC FEE AMOUNT** =

CALCULATIONS

PTO USE ONLY

\$ 860

00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date 37 (CFR 1.492(e)).

\$ 0

00

Claims

Number filed

Number Extra

Rate

Total Claims

1 - 20 =

0

0 X \$18.00

\$ 0

00

Independent Claims

1 - 3 =

0

0 X \$78.00

\$ 0

00

Multiple dependent claims (s)(if applicable)

0

+ \$260.00

\$ 0

00

**TOTAL OF ABOVE CALCULATIONS** =

\$ 860

00

Reduction by ½ for filing by small entity, if applicable. Verified Small Entity statement must also  
be filed. (Note 37 CFR 1.9, 1.27, 1.28).

\$ 0

00

**SUBTOTAL** =

\$ 860

00

Processing fee of \$130.00 for furnishing the English translation later the ☐ 20 ☐ 30  
months from the earliest claimed priority date (37CFR 1.492(f)).

+

\$ 0

00

**TOTAL NATIONAL FEE** =

\$ 860

00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+

\$ 0

00

**TOTAL FEES ENCLOSED** =

\$ 860

00

Amount to be:  
refunded

\$-----

charged

\$860.00

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.b. ☒ Please charge my Deposit Account No. 01-1250 in the amount of \$860.00 to cover the above fees.A triplicate copy of this sheet is enclosed. Order No. 01-0313.c. ☒ The Assistant Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 01-1250. A triplicate copy of this sheet is enclosed.**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be  
filed and granted to restore the application to pending status.SEND ALL CORRESPONDENCE TO: Henkel Corporation, Law Dept.  
2500 Renaissance Blvd, Suite 200  
Gulph Mills, PA 19406

SIGNATURE

Stephen D. Harper  
NAME ATTORNEY FOR APPLICANT  
33.243  
REGISTRATION NUMBER